

<b>Notice of Allowability</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/699,054	BOBBITT ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	Marc R Filipczyk	2161	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 10/18/04.
2. ☒ The allowed claim(s) is/are 213-251.
3. ☒ The drawings filed on 27 October 2000 are accepted by the Examiner.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) ☐ All    b) ☐ Some\*    c) ☐ None    of the:
    1. ☐ Certified copies of the priority documents have been received.
    2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).


\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.  
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
  6. ☐ CORRECTED DRAWINGS ( as "replacement sheets") must be submitted.
    - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review ( PTO-948) attached
      - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
    - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
7. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

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| <ol style="list-style-type: none"> <li>1. <input type="checkbox"/> Notice of References Cited (PTO-892)</li> <li>2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)</li> <li>3. <input checked="" type="checkbox"/> Information Disclosure Statements (PTO-1449 or PTO/SB/08),<br/>Paper No./Mail Date <u>10/18/04</u></li> <li>4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br/>of Biological Material</li> </ol> | <ol style="list-style-type: none"> <li>5. <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)</li> <li>6. <input checked="" type="checkbox"/> Interview Summary (PTO-413),<br/>Paper No./Mail Date <u>12/20/04</u>.</li> <li>7. <input checked="" type="checkbox"/> Examiner's Amendment/Comment</li> <li>8. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance</li> <li>9. <input type="checkbox"/> Other _____.</li> </ol> |
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**SAFET METJANC**  
 SENIOR PATENT EXAMINER  
 ART UNIT 2161

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### **DETAILED ACTION**

This Action is responsive to Applicant's amendment filed October 18, 2004. The IDS filed on October 18, 2004 has been noted.

Claims 1-212 were cancelled and claims 213-251 are amended and are pending.

### ***Priority***

Claims Priority from Provisional Application 60162411 filed on October 29, 1999.

### **EXAMINER'S AMENDMENT**

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Eric B. Meyertons on December 20, 2004.

### **AMENDMENT TO THE SPECIFICATION**

Please replace old Abstract with this new Abstract below:

### **ABSTRACT**

Business data (including transactional data) may be gathered, stored, sorted, and/or collated into financial service organization (FSO) reports used by various entities of a FSO. A

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processing relationship configuration program may be used to create a processing relationship structure between various entities of the FSO. Processing relationship structure information may be stored on a database of an FSO. Nodes may be created and uniquely defined to represent FSO physical entities and/or FSO functions. A nodes structure may correspond to the processing relationship structure within an FSO. In some embodiments, an FSO application program, such as a report program, may be generated based on a defined processing relationship structure. The report records may be arranged in a particular sequence by one or more of the break key fields. Changes to the processing relationship structure may be automatically reflected in the reports generated by the report program.

#### AMENDMENT TO THE CLAIMS

241. (currently amended) A ~~carrier~~ recordable medium comprising program instructions for a financial system organization (FSO), wherein a model of the FSO stored in a database, the model comprising the FSO entities configured in a tree structure, wherein the tree structure comprises one or more branches, wherein each tree branch comprises one or more FSO entities of the FSO entities, wherein the at least one of the FSO entities on at least one of the tree branches reports to a first one of the FSO entities higher on the tree branch, and wherein the FSO entities perform one or more transactions, wherein each of the transactions comprise data and wherein the program instructions are executable by the FSO computer system to implement:

- a) accessing a transaction from a database of a plurality of transactions;
- b) reading a processing relationship object associated with the accessed transaction from a database, wherein the processing relationship object describes a location of one or more processing parameter values for the accessed transaction;

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c) reading one or more processing parameter values associated with the transaction described in the processing relationship object;

d) transferring the one or more processing parameter values to a report record;

e) reading a report data definition from the database of a plurality of transactions from a), wherein the report data definition describes a location of data in the accessed transaction;

f) transferring the data to the report record;

repeating a) through f) until each of the plurality of transactions has been accessed and the associated processing parameters placed in a report record, wherein one report record is created for each transaction, and wherein each of the report records are stored in a report record file;

sorting report records such that report records comprising FSO identifying processing parameter values of the one or more FSO entities below other FSO entities on the tree branch appear in the sorted report record file before report records associated with FSO entities that are higher on the tree branch;

g) identifying a current report record and reading the current report record from the sorted report record file;

h) identifying the FSO associated with the current report record, wherein the identified FSO is designated as the current FSO entity;

i) writing data from the current report record to a summary report for the current FSO entity;

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- j) reading a next report record of the sorted report record;
  - k) comparing the FSO entity associated with the next report record to the current FSO entity;
  - l) writing data from the next report record to a summary report for the current FSO entity if the FSO entity of the next report is the same as the current FSO entity;
  - m) creating a new summary report in response to the FSO entity of the next report record not being equal to the current FSO entity; and writing data from the current report record to a summary report for the FSO entity associated with the next report record;
  - n) designating the FSO entity associated with the next report record as the current FSO entity;
- repeating g) through n) until all of the report records in the report record file have been read.

***Allowable Subject Matter***

Claims 213-251 are allowable over prior art of record, renumbered as claims 1-39, respectively.

The following is an Examiner's statement of reasons for allowance:

Claims 213, 227 and 241 are allowable because the prior art of record or that encountered in searching for the invention, fails to disclose or suggest a financial service organization computer system with a model comprising a tree structure and generating a record file, the record file comprising report records, wherein each report record comprises accessed transactions and describes the location of processing parameter values for the accessed transactions and sorting the report records, as claimed in addition to the other claim provisions.

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Claims 214-226, 228-240 and 242-251 depend from claims 213, 227 and 241 respectively and are therefore allowable on the same basis.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Marc R Filipczyk whose telephone number is (571) 272-4019. The examiner can normally be reached on Mon-Fri, 8:30am-5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Safet Metjahic can be reached on (571) 272-4023. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

MF  
December 20, 2004

  
**SAFET METJAHIC**  
**SUPERVISORY PATENT EXAMINER**  
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